

COPIES OF PAPERS
ORIGINALLY FILED

(3)

PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

O I P E

JAN 25 2002

TRADEMARK OFFICE

**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**

Declaration Submitted with Initial Filing OR Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	11321-P014US
First Named Inventor	Richard E. Smalley
COMPLETE IF KNOWN	
Application Number	09 / 935,995
Filing Date	August 23, 2001
Group Art Unit	
Examiner Name	Not yet assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Polymer-Wrapped Single Wall Carbon Nanotubes

(Title of the Invention)

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) 08/23/2001 as United States Application Number or PCT International

Application Number 09/935,995 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label	<input type="checkbox"/> OR <input type="checkbox"/> Correspondence address below
Name Ross Spencer Garson Winstead Sechrest & Minick P.C. Address P.O. Box 50784 1201 Main Street City Dallas State Texas ZIP 75250-0784 Country United States of America Telephone 512-370-2870 Fax 214-745-5390			
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.			
NAME OF SOLE OR FIRST INVENTOR: <input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name Richard E. (first and middle [if any])		Family Name Smalley or Surname	
Inventor's Signature 		Date 10/8/01	
Residence: City Houston State Texas Country US Citizenship US			
Mailing Address 1816 Bolsover Street			
City Houston State Texas ZIP 77005 Country US			
NAME OF SECOND INVENTOR: <input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name Daniel T. (first and middle [if any])		Family Name Colbert or Surname	
Inventor's Signature		Date	
Residence: City Houston State Texas Country US Citizenship US			
Mailing Address 1911 Milford Street			
City Houston State Texas ZIP 77098 Country US			
<input checked="" type="checkbox"/> Additional inventors are being named on the <u>1</u> supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.			

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

DECLARATION — Utility or Design Patent Application

Direct all correspondence to: Customer Number _____ OR Correspondence address below

Name
Ross Spencer Garson
Winstead Sechrest & Minick P.C.

Address
P.O. Box 50784
1201 Main Street

City Dallas	State Texas	ZIP 75250-0784
Country United States of America	Telephone 512-370-2870	Fax 214-745-5390

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR : A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Richard E.	Family Name Smalley or Surname
--	------------	---

Inventor's Signature	Date
-----------------------------	------

Residence: City Houston	State Texas	Country US	Citizenship US
-----------------------------------	-----------------------	----------------------	--------------------------

Mailing Address
1816 Bolsover Street

City Houston	State Texas	ZIP 77005	Country US
------------------------	-----------------------	---------------------	----------------------

NAME OF SECOND INVENTOR: A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Daniel T.	Family Name Colbert or Surname
--	-----------	---

Inventor's Signature <i>D. T. Colbert</i>	Date <i>10/19/01</i>
---	----------------------

Residence: City Houston	State Texas	Country US	Citizenship US
-----------------------------------	-----------------------	----------------------	--------------------------

Mailing Address 1911 Milford Street

City Houston	State Texas	ZIP 77098	Country US
------------------------	-----------------------	---------------------	----------------------

Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

**COPY OF PAPERS
ORIGINALLY FILED**

Please type a plus sign (+) inside this box →

PTO/SB/02A (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.



DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 2 of 2

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])		Family Name or Surname			
Ken A.		Smith			
Inventor's Signature <i>[Signature]</i>		Date <u>10-9-01</u>			
Residence: City	Katy	State	Texas	Country	US
Mailing Address 333 Dominion, Apartment 1334					
Mailing Address					
City	Katy	State	Texas	ZIP	77450
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])		Family Name or Surname			
Michael		O'Connell			
Inventor's Signature		Date			
Residence: City	Houston	State	Texas	Country	US
Mailing Address 2111 Holly Hall, Apartment 2702					
Mailing Address					
City	Houston	State	Texas	ZIP	77054
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])		Family Name or Surname			
Inventor's Signature		Date			
Residence: City	State	Country		Citizenship	
Mailing Address					
Mailing Address					
City	State	ZIP	Country		

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**COPY OF PAPERS
ORIGINALLY FILED**

Please type a plus sign (+) inside this box →

PTO/SB/02A (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.



DECLARATION

**ADDITIONAL INVENTOR(S)
Supplemental Sheet
Page 2 of 2**

Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])		Family Name or Surname		
Ken A.		Smith		
Inventor's Signature				
Residence: City	Katy	State	Texas	Country
			US	Citizenship
Mailing Address	333 Dominion, Apartment 1334			
Mailing Address				
City	Katy	State	Texas	ZIP 77450 Country US
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])		Family Name or Surname		
Michael		O'Connell		
Inventor's Signature				Date <u>10/9/01</u>
Residence: City	Pearland Houston	State	Texas	Country US
Mailing Address	2111 Holly Hall, Apartment 2702- 3411 Eaglewood ct.			
Mailing Address				
City	Houston	State	Texas	ZIP <u>77054</u> Country US
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])		Family Name or Surname		
Inventor's Signature				Date
Residence: City		State		Country
Mailing Address				
Mailing Address				
City		State		ZIP Country

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.